

V. PERFORMANCE MEASURES. UI PERFORMS incorporates two tiers of performance measures. Tier I measures are those measures that are considered to be critical indicators of the overall performance of the program. If minimum performance levels for them are not met, it signals fundamental impairment in program operations, and triggers a requirement that a CAP be submitted. Tier II measures represent a menu of additional measures on which Federal data are collected and which, together with Tier I, measures provide a complete picture of the full UI program. SESAs are encouraged to routinely monitor performance data on both Tier I and Tier II measures and to achieve continuous improvement in overall unemployment compensation performance by establishing improvement targets for as many measures as possible.

A. TIER I (Criterioned) Measures. Tier I, or criterioned measures, are key indicators of core performance of the UI program. They were selected to provide coverage of the major areas of UI performance in both the benefits and tax areas based on the Federal UI law requirements, and key indicators for customer service including timeliness, accuracy, and quality. The DOL sought SESA and public comment on proposed minimum performance criteria for the Tier I measures through UIPL 4-99, dated October 20, 1998, and through a Federal Register Notice at 63 FR 63544, dated November 13, 1998, and intends to publish final criteria by June 1999. Once established the criteria for the Tier I measures will represent minimum acceptable levels of performance - floor levels below which the SESA's customers would not be getting acceptable service. SESA performance measured by Tier I measures will be the basis for formal Departmental action when criteria are not met. DOL intends to provide various periods for transition to the new Tier I minimum performance criteria, so during the specified transition period ETA will not initiate formal action against a State with performance below a criterion if the State submits a satisfactory corrective action plan and shows evidence of continuing progress in its achievement.

B. TIER II (Non-Criterioned) Measures. Tier II measures, like Tier I measures, are routinely reported by the SESA using Federal definitions found in ETA Handbook 401, but have no nationally established Federal criteria for judging the adequacy of the SESA's performance. Instead, in conjunction with the Regional Office, and as part of the annual planning process, the SESA will identify Tier II measures that need or to which it wishes to provide special attention. The vehicle for enhancing performance in these areas is a CIP negotiated between the SESA and the Regional Office. The SESA will identify strategies for improvement and reach agreement with the Regional Office for a numerical performance goal for the measure for the year.

However, as provided in Federal UI Law, the Secretary of Labor retains full authority to address cases of egregious poor performance in a State. Egregious performance, defined as conspicuously bad performance, will be judged by the Regional Office by comparing the SESA's performance against annual goals established in the SQSP, and by noting performance that falls substantially below the national performance for a non-criterioned measure. The vehicle for enhancing deficient performance in these areas is through a CAP as described in paragraph IV.A. above.

Note: Definitions for existing Tier II measures are found in ETA Handbook 401.

UI PERFORMS Tier II Measures

Benefits Payment Timeliness Measures

1. Intrastate UI First Payments Timeliness*
2. Interstate UI First Payments Timeliness*
3. UI First Payments Timeliness (Partials/Part Totals)
4. UCFE First Payments Timeliness
5. UCX First Payments Timeliness
6. Continued Weeks Payments Timeliness*
7. Continued Weeks Payments Timeliness (Partials/Part Totals)
8. Workshare First Payments Timeliness
9. Workshare Continued Weeks Payment Timeliness
10. Intrastate Separation Determinations Timeliness
11. Intrastate Nonseparation Determinations Timeliness
12. Interstate Separation Determinations Timeliness
13. Interstate Nonseparation Determinations Timeliness
14. Nonmonetary Issue Detection Timeliness
15. Nonmonetary Determinations Implementation Timeliness

Appeals Timeliness Measures

16. Implementation of Appeals Decision Timeliness
17. Employer Tax Appeal Timeliness [to be developed]
18. Lower Authority Appeals, Case Aging
19. Higher Authority Appeals, Case Aging

Combined Wage Claims Timeliness Measures

20. Combined Wage Claim Wage Transfer Timeliness
21. Combined Wage Claim Billing Timeliness
22. Combined Wage Claim Reimbursements Timeliness

Tax Timeliness Measures

23. Contributory Employer Report Filing Timeliness
24. Reimbursing Employer Report Filing Timeliness
25. Securing Delinquent Contributory Reports Timeliness
26. Securing Delinquent Reimbursing Reports Timeliness
27. Resolving Delinquent Contributory Reports Timeliness
28. Resolving Delinquent Reimbursing Reports Timeliness
29. Contributory Employer Payments Timeliness
30. Reimbursing Employer Payments Timeliness
31. Successor Status Determination Timeliness (within 90 days of Quarter End Date)
32. Successor Status Determination Timeliness (within 180 days of Quarter End Date)

Appeals Quality Measures

- 33. Lower Authority Appeals Due Process Quality
- 34. Higher Authority Appeals Quality - [to be developed]

Tax Quality Measures

- 35. Employer Tax Appeals Quality - [to be developed]
- 36. Delinquent Reports Resolution Quality
- 37. Collection Actions Quality
- 38. Turnover of Contributory Receivables to Tax Due
- 39. Turnover of Reimbursing Receivables to Tax Due
- 40. Writeoff of Contributory Receivables to Tax Due
- 41. Writeoff of Reimbursing Receivables to Tax Due
- 42. Contributory Accounts Receivable as a Proportion of Tax Due
- 43. Reimbursing Accounts Receivable as a Proportion of Tax Due
- 44. Field Audits Quality
- 45. Field Audit Penetration, Employers
- 46. Field Audit Penetration, Wages
- 47. Percent Change as a Result of Field Audit

Benefits Accuracy Measures

- 48. Paid Claim Accuracy
- 49. Denied Claim Accuracy [under development]

Tax Accuracy Measures

- 50. Posting New Determinations Accuracy
- 51. Successor Determinations Accuracy
- 52. Posting Successor Determinations Accuracy
- 53. Inactivating Employer Accounts Accuracy
- 54. Posting Inactivations Accuracy
- 55. Employer Reports Processing Accuracy
- 56. Contributory Employer Debits/Billings Accuracy
- 57. Reimbursing Employer Debits/Billings Accuracy
- 58. Employer Credits/Refunds Accuracy
- 59. Benefit Charging Accuracy
- 60. Experience Rating Accuracy

Benefit Payment Control Measures

- 61. Benefit Payment Control, Establishment Effectiveness [under development]
- 62. Benefit Payment Control, Collection Effectiveness [under development]

* Includes Total and Partial/Part-Total payments.